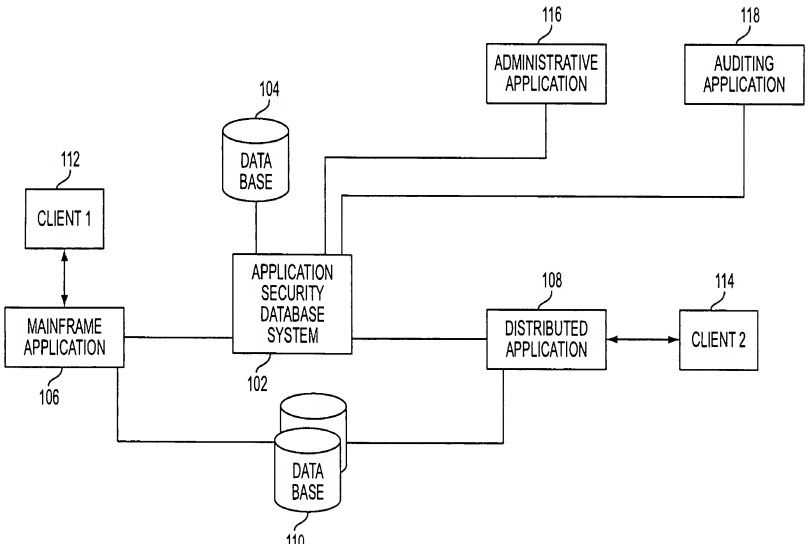

FIG. 1

09988009 - 020102

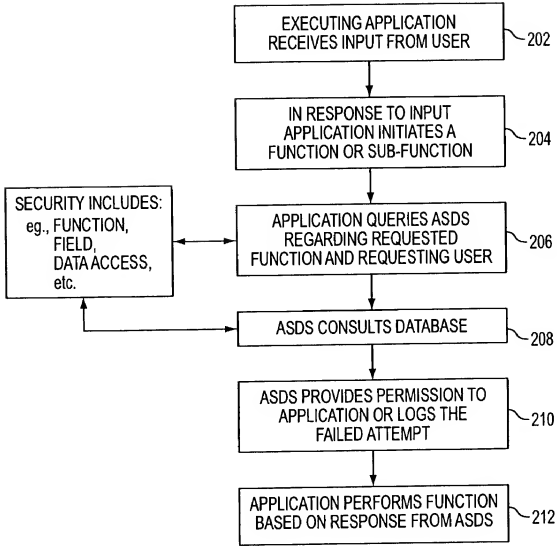
EXECUTING APPLICATION RECEIVES INPUT FROM USER
202
IN RESPONSE TO INPUT APPLICATION INITIATES A FUNCTION OR SUB-FUNCTION
204
SECURITY INCLUDES: eg., FUNCTION, FIELD, DATA ACCESS, etc.
APPLICATION QUERIES ASDS REGARDING REQUESTED FUNCTION AND REQUESTING USER
206
ASDS CONSULTS DATABASE
208
ASDS PROVIDES PERMISSION TO APPLICATION OR LOGS THE FAILED ATTEMPT
210
APPLICATION PERFORMS FUNCTION BASED ON RESPONSE FROM ASDS
212

FIG. 2

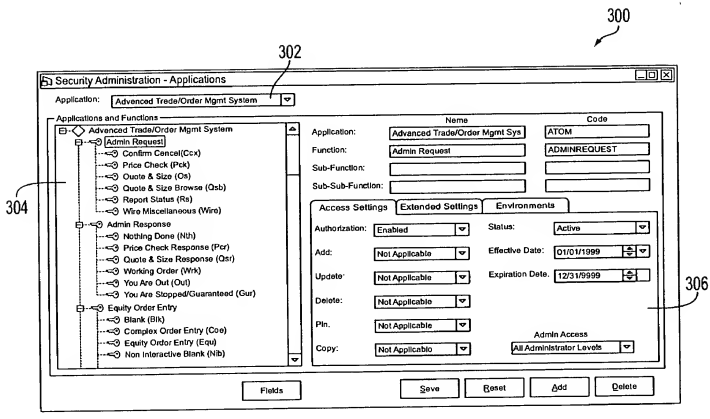
300
302
Security Administration - Applications
Application:
Advanced Trade/Order Mgmt System
Applications and Functions
Advanced Trade/Order Mgmt System
Admin Request
Confirm Cancel(Ccx)
Price Check (Pck)
Quote & Size (Qs)
Quote & Size Browse (Qsb)
Report Status (Rs)
Wire Miscellaneous (Wire)
Admin Response
Nothing Done (Nth)
Price Check Response (Pcr)
Quote & Size Response (Qsr)
Working Order (Wrk)
You Are Out (Out)
You Are Stopped/Guaranteed (Gur)
Equity Order Entry
Blank (Blk)
Complex Order Entry (Coe)
Equity Order Entry (Equ)
Non Interactive Blank (Nib)
304
Name
Code
Application:
Advanced Trade/Order Mgmt Sys
ATOM
Function:
Admin Request
ADMINREQUEST
Sub-Function:
Sub-Sub-Function:
Access Settings
Extended Settings
Environments
Authorization:
Enabled
Status:
Active
Add:
Not Applicable
Effective Date:
01/01/1999
Update:
Not Applicable
Expiration Date:
12/31/9999
Delete:
Not Applicable
Pin:
Not Applicable
Admin Access
Copy:
Not Applicable
All Administrator Levels
306
Fields
Save
Reset
Add
Delete

FIG. 3

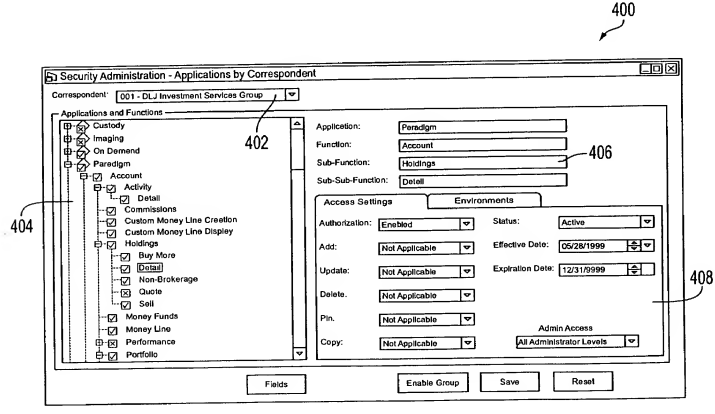
400
Security Administration - Applications by Correspondent
Correspondent:
001 - DLJ Investment Services Group
Applications and Functions
Custody
Imaging
On Demand
Paradigm
Account
Activity
Detail
Commissions
Custom Money Line Creation
Custom Money Line Display
Holdings
Buy More
Detail
Non-Brokerage
Quote
Sell
Money Funds
Money Line
Performance
Portfolio
402
404
Application:
Paradigm
Function:
Account
Sub-Function:
Holdings
Sub-Sub-Function:
Detail
406
Access Settings
Environments
Authorization:
Enabled
Status:
Active
Add:
Not Applicable
Effective Date:
05/28/1999
Update:
Not Applicable
Expiration Date:
12/31/9999
Delete:
Not Applicable
Pin:
Not Applicable
Admin Access
Copy:
Not Applicable
All Administrator Levels
408
Fields
Enable Group
Save
Reset

FIG. 4

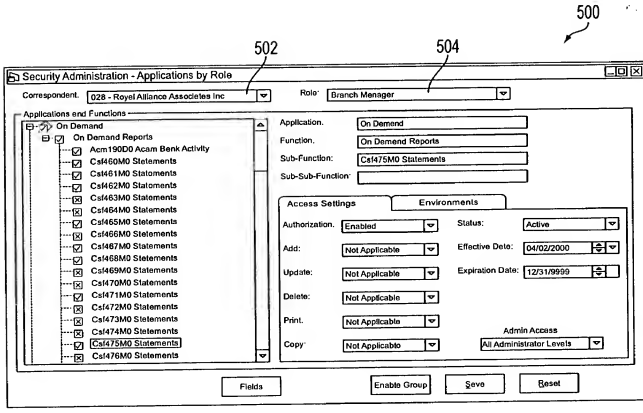
500
502
504
Security Administration - Applications by Role
Correspondent:
028 - Royal Alliance Associates Inc
Role:
Branch Manager
Applications and Functions
On Demand
On Demand Reports
Acm190D0 Acam Bank Activity
Csf460M0 Statements
Csf461M0 Statements
Csf462M0 Statements
Csf463M0 Statements
Csf464M0 Statements
Csf465M0 Statements
Csf466M0 Statements
Csf467M0 Statements
Csf468M0 Statements
Csf469M0 Statements
Csf470M0 Statements
Csf471M0 Statements
Csf472M0 Statements
Csf473M0 Statements
Csf474M0 Statements
Csf475M0 Statements
Csf476M0 Statements
Application:
On Demand
Function:
On Demand Reports
Sub-Function:
Csf475M0 Statements
Sub-Sub-Function:
Access Settings
Environments
Authorization:
Enabled
Status:
Active
Add:
Not Applicable
Effective Date:
04/02/2000
Update:
Not Applicable
Expiration Date:
12/31/9999
Delete:
Not Applicable
Print:
Not Applicable
Admin Access
Copy:
Not Applicable
All Administrator Levels
Fields
Enable Group
Save
Reset

FIG. 5

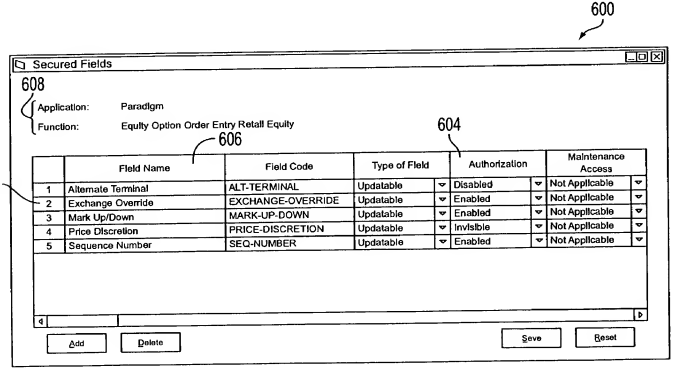
600
Secured Fields
608
Application:
Paradigm
Function:
Equity Option Order Entry Retail Equity
606
604
602
Field Name
Field Code
Type of Field
Authorization
Maintenance Access
1 Alternate Terminal ALT-TERMINAL Updatable Disabled Not Applicable
2 Exchange Override EXCHANGE-OVERRIDE Updatable Enabled Not Applicable
3 Mark Up/Down MARK-UP-DOWN Updatable Enabled Not Applicable
4 Price Discretion PRICE-DISCRETION Updatable Invisible Not Applicable
5 Sequence Number SEQ-NUMBER Updatable Enabled Not Applicable
Add
Delete
Save
Reset

FIG. 6

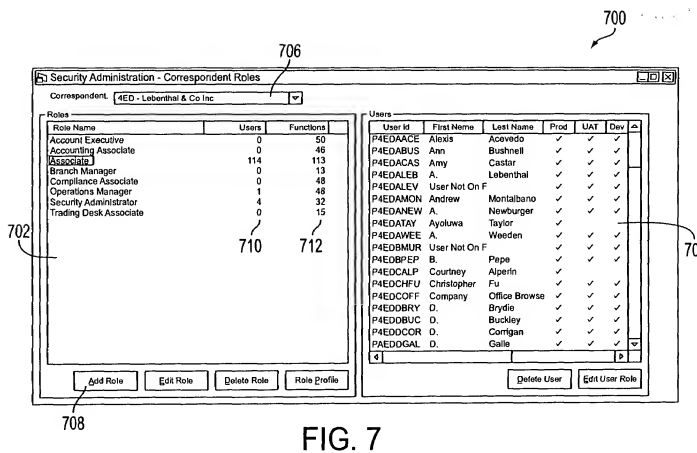
700
706
Security Administration - Correspondent Roles
Correspondent: 4ED - Lebenthal & Co Inc
Roles
Role Name | Users | Functions
Account Executive 0 50
Accounting Associate 0 46
Associate 114 113
Branch Manager 0 13
Compliance Associate 0 48
Operations Manager 1 48
Security Administrator 4 32
Trading Desk Associate 0 15
710
712
Users
User Id | First Name | Last Name | Prod | UAT | Dev
P4EDAACE Alexis Acevedo
P4EDABUS Ann Bushnell
P4EDACAS Amy Castar
P4EDALEB A. Lebenthal
P4EDALEV User Not On F
P4EDAMON Andrew Montalbano
P4EDANEW A. Newburger
P4EDATAY Ayoluwa Taylor
P4EDAWEE A. Weeden
P4EDBMUR User Not On F
P4EDBPEP B. Pepe
P4EDCALP Courtney Alperin
P4EDCHFU Christopher Fu
P4EDCOFF Company Office Browse
P4EDDBRY D. Brydie
P4EDDBUC D. Buckley
P4EDDCOR D. Corrigan
P4EDDGAL D. Galle
Add Role
Edit Role
Delete Role
Role Profile
Delete User
Edit User Role
702
704
708

FIG. 7

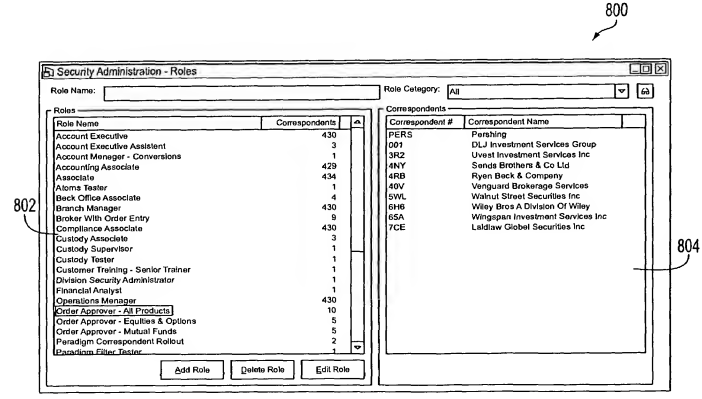
800
Security Administration - Roles
Role Name:
Role Category: All
Roles
Role Name | Correspondents
Account Executive 430
Account Executive Assistent 3
Account Meneger - Conversions 1
Accounting Associate 429
Associate 434
Atoms Tester 1
Beck Office Associate 4
Branch Manager 430
Broker With Order Entry 9
Compliance Associate 430
Custody Associate 3
Custody Supervisor 1
Custody Tester 1
Customer Training - Senior Trainer 1
Division Security Administrator 1
Financial Analyst 1
Operations Manager 430
Order Approver - All Products 10
Order Approver - Equities & Options 5
Order Approver - Mutual Funds 5
Peradigm Correspondent Rollout 2
Peradigm Filter Tester 1
Correspondents
Correspondent # | Correspondent Name
PERS Pershing
001 DLJ Investment Services Group
3R2 Uvest Investment Services Inc
4NY Sends Brothers & Co Ltd
4RB Ryan Beck & Company
40V Vanguard Brokerage Services
5WL Walnut Street Securities Inc
6HR Wiley Bros A Division Of Wiley
6SA Wingspan Investment Services Inc
7CE Laidlaw Global Securities Inc
Add Role
Delete Role
Edit Role
802
804

FIG. 8

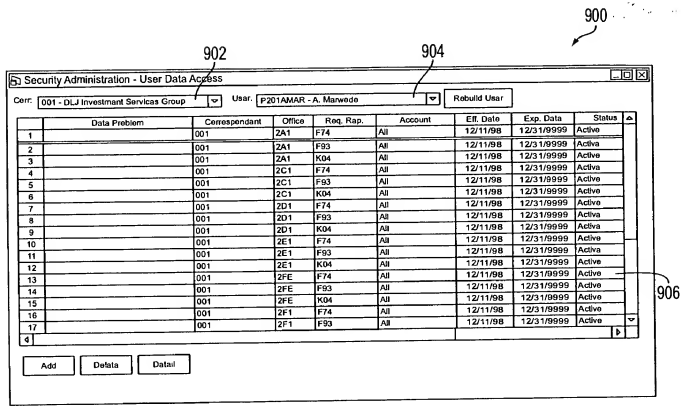
900
902
904
Security Administration - User Data Access
Corr: 001 - DLJ Investment Services Group
Usar: P201AMAR - A. Marwede
Rebuild Usar
Data Problem
Correspondant
Office
Req. Rap.
Account
Eff. Date
Exp. Data
Status
1 001 2A1 F74 All 12/11/98 12/31/9999 Active
2 001 2A1 F93 All 12/11/98 12/31/9999 Activa
3 001 2A1 K04 All 12/11/98 12/31/9999 Activa
4 001 2C1 F74 All 12/11/98 12/31/9999 Activa
5 001 2C1 F93 All 12/11/98 12/31/9999 Active
6 001 2C1 K04 All 12/11/98 12/31/9999 Active
7 001 2D1 F74 All 12/11/98 12/31/9999 Active
8 001 2D1 F93 All 12/11/98 12/31/9999 Activa
9 001 2D1 K04 All 12/11/98 12/31/9999 Activa
10 001 2E1 F74 All 12/11/98 12/31/9999 Active
11 001 2E1 F93 All 12/11/98 12/31/9999 Activa
12 001 2E1 K04 All 12/11/98 12/31/9999 Active
13 001 2FE F74 All 12/11/98 12/31/9999 Active
14 001 2FE F93 All 12/11/98 12/31/9999 Active
15 001 2FE K04 All 12/11/98 12/31/9999 Activa
16 001 2F1 F74 All 12/11/98 12/31/9999 Activa
17 001 2F1 F93 All 12/11/98 12/31/9999 Active
906
Add
Delete
Detail

FIG. 9

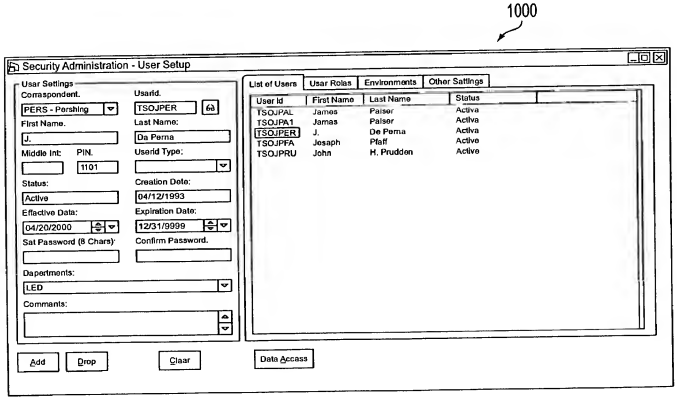
1000
Security Administration - User Setup
Usar Settings
Correspondent.
PERS - Pershing
Usarld.
TSOJPER
First Name.
J.
Last Name:
De Perna
Middle Int:
PIN.
1101
Usarld Type:
Status:
Active
Creation Date:
04/12/1993
Effective Date:
04/20/2000
Expiration Date:
12/31/9999
Set Password (8 Chars):
Confirm Password.
Departments:
LED
Comments:
List of Users
Usar Roles
Environments
Other Settings
User Id
First Name
Last Name
Status
TSOJPAL James Palser Activa
TSOJPA1 James Palser Activa
TSOJPER J. De Perna Activa
TSOJPFA Joseph Pfaff Active
TSOJPRU John H. Prudden Active
Add
Drop
Clear
Data Access

FIG. 10

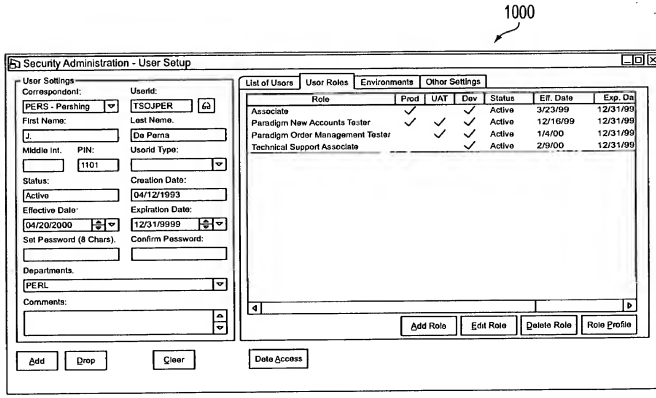

FIG. 11

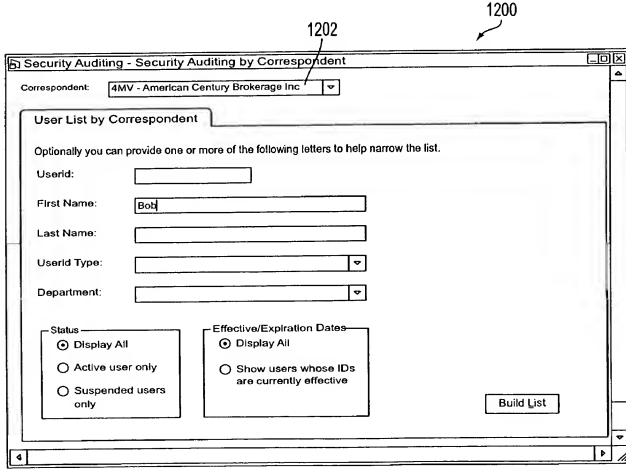

FIG. 12A

1250

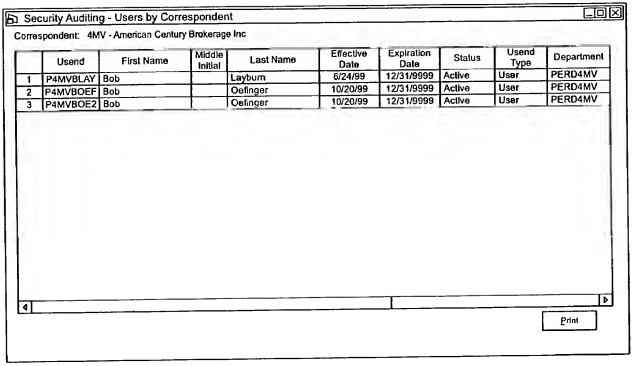

FIG. 12B

1300

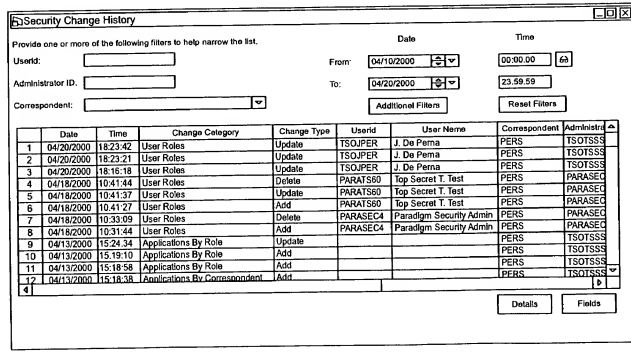

FIG. 13